

# Case Processing Overview

This **FHA Connection Guide** module describes the case processing cycle, beginning with the **Case Processing** menu (Figure 1), and provides and guides you to training on using the FHA Connection's:

- *main* case processing functions (**Case Number Assignment**, **Appraisal Logging**, and **Insurance Application/HECM Insurance Application**) (see **Key Case Processing Functions**)
- case processing *support* functions, listed in **Figure 1** and discussed in **The Role of Case Processing Support Functions**
- other functions used in case processing that support Single Family Origination business processes (**Figure 2**) (see **Other Menus/Functions that Support Case Processing**)

The screenshot shows the FHA Connection website interface. At the top, the logo and navigation links (Home, Main Menu, ID Maintenance, E-mail Us, Contact Us) are visible. The main menu is titled "Case Processing" and contains a list of functions. A yellow box on the left highlights "Function-specific What I Need to Know modules (quick tips, illustrated procedures)". A blue box highlights the "Main case processing functions" which include Case Number Assignment, Appraisal Logging, Insurance Application, and HECM Insurance Application. A red box highlights "Case processing support functions" which include Borrower/Address Change, CAIVRS Authorization, Case Query, Case Transfer, Conditional Commitment, EEM Calculator, Electronic Binder Additions Upload, Electronic Case Binder Upload, Escrow Closeout, Firm Commitment, HECM Referral, Inspector Assignment, MIC/NOR List, MIP Calculator, Mortgage Credit Reject, Mortgage Insurance Certificate, Notice of Return, Post-endorsement Borrower SSN Correction, Refinance Authorization, and Refinance Credit Query. A red box highlights a "Tutorial" link for "Processing a Mortgage for FHA Insurance" with a "What I Need to Know" button. A red box highlights "Binder Selection" in the right column. The footer contains links for HSG/FHA Home Page, HUD Single Family Housing Page, HUD Multifamily Housing Page, HUDCLIPS, Lenders Information, and Mortgagee Letters.

Figure 1: Illustration of Case Processing menu

## Key Case Processing Functions

The **Case Processing** menu is reached by following the path **Single Family FHA > Single Family Origination > Case Processing**. As shown in **Figure 1** above, the **Case Processing** menu includes all functions necessary to process an FHA case from initial application through endorsement (FHA insurance). After a borrower applies for an FHA-insured mortgage:

- the lender gathers the information required to use the **Case Number Assignment** function to establish the case in HUD's loan origination system in order to be assigned an FHA case number
- once the case number is assigned, a lender or sponsor/agent may use it to access and update existing case information during the processing cycle

**Table 1: Key Case Processing Functions** describes each of the functions required to bring an FHA case to endorsement, and guides you to training resources on each one.

**Table 1: Key Case Processing Functions**

Function		Role	Training Resources
<b>Case Number Assignment</b>	<b>Establish a New Case</b>	Use <b>Validate Borrower/Address for Case Number Assignment</b> to validate the borrower and address information associated with a new case. Use <b>Case Number Assignment</b> to enter case-related information (categories are: General Information, As Required, Property Address, Compliance Inspection Fields, Borrower Information, and Lender Notes).	<ol style="list-style-type: none"> <li>1. <b>FHA Connection Guide: Case Number Assignment</b></li> <li>2. On the <b>Case Processing</b> menu page (<b>Figure 1</b>): <ul style="list-style-type: none"> <li>• <b>What I Need to Know (WINK): Case Number Assignment</b></li> <li>• <b>Processing a Mortgage</b> tutorial</li> </ul> </li> <li>3. On the <b>Case Number Assignment</b> menu page: <b>WINK: Establish a New Case</b></li> </ol>
	<b>Update Existing Case</b>	Use <b>Update Existing Case</b> to correct information on a case with an assigned case number prior to endorsement of the case.	<ol style="list-style-type: none"> <li>1. <b>FHA Connection Guide: Case Number Assignment</b></li> <li>2. On the <b>Case Number Assignment</b> menu page: <b>WINK: Update an Existing Case</b></li> </ol>
	<b>Holds Tracking</b>	Use <b>Holds Tracking</b> to monitor cases held during Case Number Assignment to determine hold reasons and borrower validation status. Also use <b>Holds Tracking</b> to determine if subsequent changes to borrower information, e.g., using <b>Borrower/Address Change</b> , passed or failed overnight borrower validation.	<ol style="list-style-type: none"> <li>1. <b>FHA Connection Guide: Holds Tracking</b></li> <li>2. On the <b>Case Number Assignment</b> menu page: <b>WINK: Holds Tracking</b></li> </ol>

Table 1: Key Case Processing Functions

Function	Role	Training Resources
<b>Appraisal Logging</b>	Use <b>Appraisal Logging</b> to log, add, change, or review appraisal information in HUD's origination system for nonendorsed cases prior to insurance processing. Required for regular direct endorsement cases, but not for most irregular cases, except for DE HECM and 203(k) Real Estate Owned (REO) cases. If the case requires an appraisal, <b>Appraisal Logging</b> must be processed before submitting the insurance application. After a case is endorsed for insurance, appraisal information is view-only.	<ol style="list-style-type: none"> <li>1. <b>FHA Connection Guide: Appraisal Logging</b></li> <li>2. On the <b>Case Processing</b> menu page (<b>Figure 1</b>): <ul style="list-style-type: none"> <li>• <b>WINK: Appraisal Logging</b></li> <li>• <b>Processing a Mortgage</b> tutorial</li> </ul> </li> </ol>
<b>Insurance Application</b>	Use <b>Insurance Application</b> to add, review, or change insurance application information for a case prior to endorsement. For the Lender Insurance (LI) program participants, <b>Insurance Application</b> is also used to endorse a case (excluding HECM cases).	<ol style="list-style-type: none"> <li>1. <b>FHA Connection Guide: Endorsing a Single Family FHA Case</b></li> <li>2. On the <b>Case Processing</b> menu page (<b>Figure 1</b>): <ul style="list-style-type: none"> <li>• <b>WINK: Insurance Application</b></li> <li>• <b>Processing a Mortgage</b> tutorial</li> </ul> </li> </ol>
<b>HECM Insurance Application</b>	Use <b>HECM Insurance Application</b> to add, review, or change insurance application information for a HECM case (including HECM refinance).	<ol style="list-style-type: none"> <li>1. <b>FHA Connection Guide: HECM Insurance Application</b></li> <li>2. On the <b>Case Processing</b> menu page (<b>Figure 1</b>): <ul style="list-style-type: none"> <li>• <b>WINK: HECM Insurance Application</b></li> <li>• <b>Processing a Mortgage</b> tutorial</li> </ul> </li> </ol>

## The Role of Case Processing Support Functions


The **Case Processing** menu includes **case processing support functions** that assist in information input, retrieval, and update in the FHA case processing cycle. For a listing of case processing support functions, refer to **Figure 1**. For training on the case processing support functions, refer to:

- **FHA Connection Guide's Case Processing Support Functions** module at [https://entp.hud.gov/pdf/mp\\_sfo06\\_csprocfnct.pdf](https://entp.hud.gov/pdf/mp_sfo06_csprocfnct.pdf)
- **Quick Start Guide's Functions Defined** section (select Single Family Origination\Case Processing) at <https://entp.hud.gov/gckstart/funcpr.cfm>.

## Other Menus/Functions that Support Case Processing

The **FHA Approval Lists** menu is reached by following the path **Single Family FHA > Single Family Origination > FHA Approval Lists**. The **FHA Approval Lists** menu (**Figure 2**) and its functions provide/support:

- the ability to query HUD's official information lists, e.g., **Appraisers**

- access to databases outside of HUD, e.g., the **GSA Lists** link to the General Services Administration’s Excluded Parties List System (EPLS) (database of parties excluded from receiving federal contracts, certain subcontracts, or certain types of federal financial and nonfinancial assistance and benefits).
- lookup interfaces from other FHA Connection functions, e.g., **Case Number Assignment**. This lets you query **FHA Approval Lists** without exiting the page you are on. Use the lookup icon  next to a field to find information to enter in that field as you work in a specific function. See the **FHA Connection Guide** module: *Using the FHA Connection* for additional information regarding available user aids.

Training on **FHA Approval Lists** functions is available in the:

- **FHA Connection Guide’s FHA Approval Lists** module at [https://entp.hud.gov/pdf/mp\\_sfo07\\_fha.pdf](https://entp.hud.gov/pdf/mp_sfo07_fha.pdf)
- **WINK** modules located adjacent to the following functions’ links: **203k Consultants**, **Appraisers**, **Condominiums**, **Inspectors**, and **Underwriters** (Figure 2)
- **Quick Start Guide’s Functions Defined** section (select Single Family Origination\FHA Approval Lists) at <https://entp.hud.gov/gckstart/funcfha.cfm>

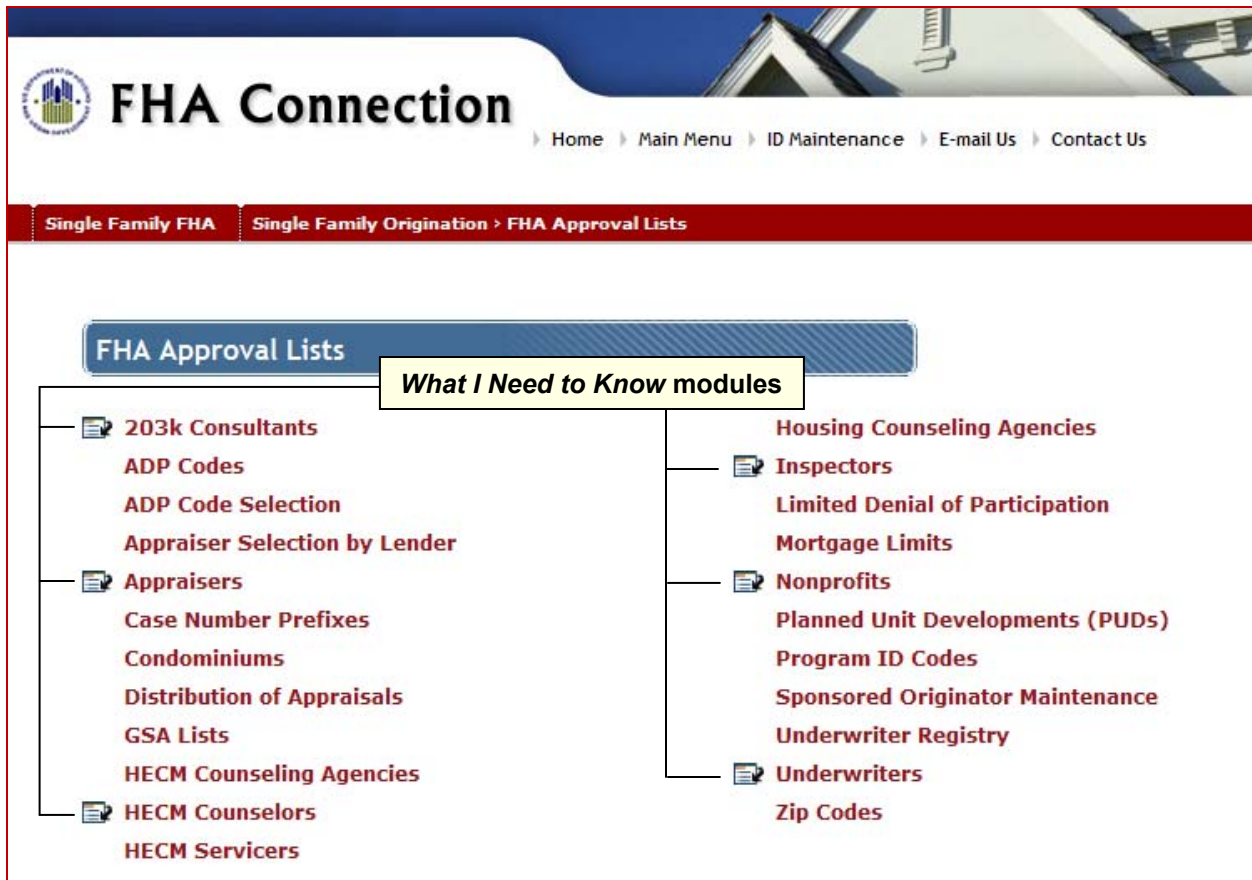


Figure 2: Illustration of FHA Approval Lists menu